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PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

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|                                                                                            |                             |                               |         |
|--------------------------------------------------------------------------------------------|-----------------------------|-------------------------------|---------|
| <b>TRANSMITTAL FORM</b><br><i>(to be used for all correspondence after initial filing)</i> | <b>Application Number</b>   | 09/886,912                    |         |
|                                                                                            | <b>Filing Date</b>          | June 21, 2001                 |         |
|                                                                                            | <b>First Named Inventor</b> | Munoz, Rodrigo                |         |
|                                                                                            | <b>Group Art Unit</b>       | 2161                          |         |
|                                                                                            | <b>Examiner Name</b>        |                               |         |
| <b>Total Number of Pages in This Submission</b>                                            | 9                           | <b>Attorney Docket Number</b> | G03.013 |

| ENCLOSURES (check all that apply)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> Fee Transmittal Form<br><input type="checkbox"/> Fee Attached<br><input type="checkbox"/> Amendment / Reply<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><input type="checkbox"/> Extension of Time Request<br><br><input type="checkbox"/> Express Abandonment Request<br><input type="checkbox"/> Information Disclosure Statement<br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><input type="checkbox"/> Response to Missing Parts/ Incomplete Application<br><input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input checked="" type="checkbox"/> Assignment Papers (for an Application)<br><input type="checkbox"/> Drawing(s)<br><input type="checkbox"/> Licensing-related Papers<br><input type="checkbox"/> Petition<br><input type="checkbox"/> Petition to Convert to a Provisional Application<br><input type="checkbox"/> Power of Attorney, Revocation<br>Change of Correspondence Address<br><br><input type="checkbox"/> Terminal Disclaimer<br><input type="checkbox"/> Request for Refund<br><input type="checkbox"/> CD, Number of CD(s) | <input type="checkbox"/> After Allowance Communication to Group<br><input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences<br><input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)<br><input type="checkbox"/> Proprietary Information<br><br><input type="checkbox"/> Status Letter<br><input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): A check for \$1200.00 for Notice of Missing Parts and Assignment Recordation. |
| <b>Remarks</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |

| SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT |                    |
|--------------------------------------------|--------------------|
| <b>Firm or Individual name</b>             | Kurt M. Maschoff   |
| <b>Signature</b>                           |                    |
| <b>Date</b>                                | September 26, 2001 |

| CERTIFICATE OF MAILING                                                                                                                                                                                                                                        |            |             |                    |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------|-------------|--------------------|
| I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on this date: September 26, 2001 |            |             |                    |
| <b>Type or printed name</b>                                                                                                                                                                                                                                   | Jill Holme |             |                    |
| <b>Signature</b>                                                                                                                                                                                                                                              |            | <b>Date</b> | September 26, 2001 |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Munoz

Application No.: 09/886,912

Filed: 6/21/2001

Title: METHOD AND APPARATUS FOR  
MATCHING RISK TO RETURN

Attorney Docket No.: G03.013

Group Art Unit: 2161

**RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION**

Assistant Commissioner for Patents  
Washington, D.C. 20231  
Attention: Box Missing Parts

Sir:

This is in response to a Notice to File Missing Parts of Application under 37 CFR 1.53(f). Enclosed is a copy of said Notice and the following documents and fees to complete the filing requirements of the above-identified application.

(X) Executed Declaration and Power of Attorney. The above-identified application is the same application which the inventor executed by signing the enclosed declaration.

(X) Statutory basic filing fee (X) Utility \$710.00 ( ) Design

(X) Additional claim fees of \$320.00

(X) Missing Parts Surcharge = \$130.00

( ) A Petition for Extension of Time for reply to Notice of Missing Parts is attached.

( ) one month = \$110.00

( ) two months = \$390.00

( ) three months = \$890.00

( ) four months = \$1,390.00

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231.

Date of Deposit: September 26, 2001

Typed Name: Jill Holme

Signature: Jill Holme

Respectfully submitted,

By Kurt M. Maschoff

Kurt M. Maschoff

Reg. No. 38,235

(203) 972-0081 / Phone

Date: September 26, 2001


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 WASHINGTON, D.C. 20231  
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| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 09/886,912         | 06/21/2001          | Rodrigo Munoz         | G03.013                |

CONFIRMATION NO. 6647

## FORMALITIES LETTER



\*OC000000006424880\*

 Buckley, Maschoff, Talwalkar, & Allison LLC  
 111 Elm Street  
 New Canaan, CT 06840

Date Mailed: 08/14/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$320.
  - \$320 for 4 independent claims over 3.
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1160.

*A copy of this notice MUST be returned with the reply.*

  
 Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 1 - ATTORNEY/APPLICANT COPY

 10/01/2001 RHARIS1 00000001 09886912  
 01 FC:101 710.00 OP  
 02 FC:102 320.00 OP  
 03 FC:105 130.00 OP